

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

UTILITY PATENT APPLICATION TRANSMITTAL FORM  
(only for new nonprovisional applications under 37 CFR 1.53(b))

ASSISTANT COMMISSIONER FOR PATENTS

Washington, D.C. 20231

BOX: PATENT APPLICATION

SIR:

Transmitted herewith for filing is the patent application (including Cover Page, Specification, Claims, Sequence Listing (if applicable) and Abstract, 51 pages) of:

Inventor : **Howard Federoff**

For : **PRODUCTION OF SOMATIC MOSAICISM IN MAMMALS USING A RECOMBINATORIAL SUBSTRATE**

*\*\*If a CONTINUING APPLICATION, please mark where appropriate and supply the requisite information below and in a preliminary amendment:*

☒ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP)  
of prior application Serial No. **08/747,328**

Prior application information: Examiner : **J. Martin**  
Art Unit : **1632**

Enclosed are:

☒ 12 sheets of formal drawings.

☐ **Signed** Combined Declaration and Power of Attorney (\_\_\_\_\_ pages).

☒ **Copy of signed** Combined Declaration and Power of Attorney (2 pages) from a prior application (1.63(d) (for continuation/divisional).

☐ **Signed** statement deleting inventor(s) named in prior application (\_\_\_\_\_ pages) (1.63(d)(2) and 1.33(b)).

☒ **Incorporation By Reference:** The entire disclosure of the prior application, from which a **copy** of the oath or declaration is supplied herewith, is considered as being part of the disclosure of the enclosed application and is hereby incorporated by reference therein.

☐ Assignment (\_\_\_\_\_ pages) of the invention to \_\_\_\_\_

☐ Assignment Transmittal Letter.

☐ Certified copy of a foreign priority document.

☐ Associate power of attorney.

☒ Applicant claims small entity status. (See 37 CFR 1.27.)

- ☒ Preliminary Amendment (4 pages) with Appendix A (1 page).
- ☒ Information Disclosure Statement, form PTO-1449 (2 pages).
- ☐ **UNSIGNED** Combined Declaration and Power of Attorney (      pages).
- ☐ Statement in Accordance with 37 CFR § 1.821(f) and computer readable 3.5" Diskette.
- ☒ A self-addressed, prepaid postcard acknowledging receipt.
- ☐ Other:

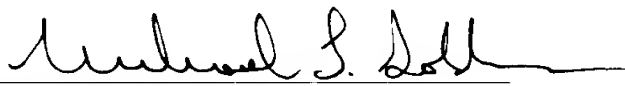
The Filing fee has been calculated as shown below:

(Col. 1)		(Col. 2)	SMALL ENTITY		OR	LARGE ENTITY	
FOR:	NO. FILED	NO. EXTRA	RATE	FEE		RATE	FEE
BASIC FEE	XXXXXXXX	XXXXXXXX	XXXX	\$355	OR	XXXX	\$710
TOTAL CLAIMS	10 - 20	0	x 9 =	\$	OR	x 18 =	\$
INDEP CLAIMS	2 - 3	0	x 40 =	\$	OR	X80 =	\$
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIM PRESENTED			x135	\$	OR	x270	\$
*If the Total Claims are less than 20 and Indep. Claims are less than 3, enter "0" in Col. 2			TOTAL	\$355	OR	TOTAL	\$

- ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_. **A duplicate copy of this sheet is enclosed.**
- ☒ A check in the amount of **\$355.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 14-1138. **A duplicate copy of this sheet is enclosed.**
- ☒ Address all future communications to:

Michael L. Goldman, Esq.  
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Date: May 11, 2001

  
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**EXPRESS MAIL CERTIFICATE**

DOCKET NO.: **176/60088 (6-11406-600)**  
APPLICANT: **Howard Federoff**  
TITLE: **PRODUCTION OF SOMATIC MOSAICISM IN MAMMALS  
USING A RECOMBINATORIAL SUBSTRATE**

Certificate is attached to the **Preliminary Amendment (4 pages) with Appendix A (1 page)** of the above-named application.

EXPRESS MAIL NUMBER: **EL709323334US**

DATE OF DEPOSIT: **May 14, 2001**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, Box: Patent Application.

**Ruth R. Smith**  
\_\_\_\_\_  
(Typed or printed name of person  
mailing paper or fee)

*Ruth R. Smith*  
\_\_\_\_\_  
(Signature of person mailing paper  
or fee)

**EXPRESS MAIL CERTIFICATE**

DOCKET NO.: 176/60088 (6-11406-600)

APPLICANT: Howard Federoff

TITLE: PRODUCTION OF SOMATIC MOSAICISM IN MAMMALS  
USING A RECOMBINATORIAL SUBSTRATE

Certificate is attached to the **Patent Application including specification, claims, sequence listing, and abstract (50 pages)** and an **Unsigned Combined Declaration and Power of Attorney (2 pages)** as filed in the prior application of the above-named application.

EXPRESS MAIL NUMBER: EL709323334US

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**Ruth R. Smith**

(Typed or printed name of person  
mailing paper or fee)

*Ruth R. Smith*

(Signature of person mailing paper  
or fee)

**EXPRESS MAIL CERTIFICATE**

DOCKET NO.: **176/60088 (6-11406-600)**

APPLICANT: **Howard Federoff**

TITLE: **PRODUCTION OF SOMATIC MOSAICISM IN MAMMALS  
USING A RECOMBINATORIAL SUBSTRATE**

Certificate is attached to the copy of **Formal Drawings (12 sheets)** as filed in the prior application of the above-named application.

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**EXPRESS MAIL CERTIFICATE**

DOCKET NO.: **176/60088 (6-11406-600)**  
APPLICANT: **Howard Federoff**  
TITLE: **PRODUCTION OF SOMATIC MOSAICISM IN MAMMALS  
USING A RECOMBINATORIAL SUBSTRATE**

Certificate is attached to the copy of the **SIGNED Combined Declaration and Power of Attorney Form (2 pages)** as filed in the prior application of the above-named application.

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**EXPRESS MAIL CERTIFICATE**

DOCKET NO.: **176/60088 (6-11406-600)**  
APPLICANT: **Howard Federoff**  
TITLE: **PRODUCTION OF SOMATIC MOSAICISM IN MAMMALS  
USING A RECOMBINATORIAL SUBSTRATE**

Certificate is attached to the **Utility Patent Application Transmittal Letter**  
(2 pages) of the above-named application.

EXPRESS MAIL NUMBER: **EL709323334US**  
DATE OF DEPOSIT: **May 14, 2001**

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*Ruth R. Smith*  
(Signature of person mailing paper  
or fee)

15974 U.S. PTO  
09/054869  
05/14/01

## EXPRESS MAIL CERTIFICATE

DOCKET NO.: 176/60088 (6-11406-600)  
APPLICANT: Howard Federoff  
TITLE: PRODUCTION OF SOMATIC MOSAICISM IN MAMMALS  
USING A RECOMBINATORIAL SUBSTRATE

Certificate is attached to the copy of **Information Disclosure Statement, PTO-1449 Form (2 pages) (in duplicate) and 17 references (not attached)** of the above-named application.

EXPRESS MAIL NUMBER: EL709323334US

DATE OF DEPOSIT: May 14, 2001

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